

☐ FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK
OFFICE (MODIFIED)

ATTORNEY'S DOCKET NUMBER

X16303

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

10/553763

INTERNATIONAL APPLICATION NO.
PCT/US2004/011257

INTERNATIONAL FILING
DATE 26 Apr 2004
26/04/2004

PRIORITY DATE CLAIMED
05 May 2003
05/05/2003

**TITLE OF INVENTION: TREATING CARDIOVASCULAR DISEASES WITH A COMPOUND OF FORMULA 1 (CS 747
- PRASUGREL; RN 150322-43-4)**

**APPLICANT(S) FOR DO/EO/US: BRANDT John Thomas, FARID Nagy Alphonse, JAKUBOWSKI Joseph Anthony, WINTERS
Kenneth John**

Applicant herewith submits to the U.S. Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A declaration of the inventors 35 U.S.C. 371(c)(4) was provided in the PCT Request Form.
11. ☐ A copy of the International Preliminary Examination Report (IPER), including any annexes, and, if not in English, an English language translation of the annexes to the IPER under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 12. to 18. below concern document(s) or information included:

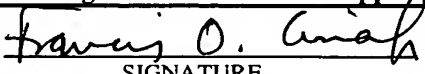

12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. ☒ Search Report from ISA/EP
13. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☐ Assignment has been recorded at reel _____, frame _____.
15. ☒ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A Sequence Listing, 1.821 Statement, and diskette.
17. ☒ A change of power of attorney with attachment.
18. ☒ Other items or information:
Please amend the first page of the specification by inserting the following cross-reference after the title:
"This is the national phase application, under 35 USC 371, for PCT/US2004/011257, filed 26 April 2004, which claims the benefit, under 35 USC 119(e), of US provisional application 60/467,903, filed 5 May 2003."

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.55) 10/553763		INTERNATIONAL APPLICATION NO. PCT/US2004/011257		ATTORNEY'S DOCKET NUMBER X16303	
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19.	X	The following fees are submitted:	CALCULATIONS	PTO USE ONLY	
(a)		Basic national fee (37 CFR 1.492(a)).....\$300.00	\$300.00		
(b)		Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0 All other situations.....\$200	\$200.00		
(c)		Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....\$400 All other situations.....\$500	\$400.00		
TOTAL AMOUNT (a + b + c) =			\$900.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			\$		
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	
Total claims		20-20=	0	X \$50.00	\$
Independent claims		8-3=	5	X \$200.00	\$1,000.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$360.00	
TOTAL OF ABOVE CALCULATIONS =			\$1,360.00		
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$		
SUBTOTAL =			\$2,260.00		
Processing fee of \$130.00 for furnishing English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$		
TOTAL NATIONAL FEE =			\$		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <div style="text-align:right;">\$40.00 per property +</div>			\$		
TOTAL FEES ENCLOSED =			\$2,260.00		
			Amount to be refunded	\$	
			charged	\$	

a.		A check in the amount of \$_____ to cover the above fees is enclosed.
b.	<input checked="" type="checkbox"/>	Please charge my Deposit Account No. 05-0840 in the amount of <u>\$2,260.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.
c.	<input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 05-0840. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO: ELI LILLY AND COMPANY PATENT DIVISION P.O. BOX 6288 INDIANAPOLIS, INDIANA 46206-6288 <u>October 21, 2005</u> Date 44,712 REGISTRATION NUMBER	 SIGNATURE Francis O. Ginah <hr/> 317-276-9477 TELEPHONE NUMBER	 25885 PATENT TRADEMARK OFFICE
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IN THE UNITED STATES RECEIVING OFFICE (USRO)

Applicant(s): John Thomas BRANDT
Nagy Alphonse FARID
Joseph Anthony JAKUBOWSKI
Kenneth John WINTERS

International Application No.: PCT/US2004/011257
Filed: 26 April 2004 (26.04.04)
Invention: TREATING CARDIOVASCULAR DISEASES WITH A
COMPOUND OF FORMULA (I) (CS 747-PRASUGREL;
RN 150322-43-4)
Lilly Reference: X-16303
Earliest Priority Date: 5 May 2003 (05.05.03)

Certificate Under 37 C.F.R. § 1.10

Attention: DO/EO
Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir/Madam:

"Express Mail" mailing label number: EV 393128583 US
Date of Deposit: Oct. 21, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Queen Thomas
(Typed or printed name of person mailing paper)

Queen Thomas
(Signature of person mailing paper or fee)

10/553763

PTO/SB/96 (8-96) (MODIFIED)

Approved for use through 9/30/98, OMB 0651-0027

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

CERTIFICATE UNDER 35 U.S.C. 122 **PCT/PTO 21 OCT 2005**

Applicant: John Thomas BRANDT, et al.

Application No.: US Nat'l Phase of PCT/US2004/011257 Filed: _____

Entitled: TREATING CARDIOVASCULAR DISEASES WITH A COMPOUND OF FORMULA (I) (CS 747 - PRASUGREL; RN 150322-43-4)

ELI LILLY AND COMPANY, a CORPORATION
(Name of Assignee) (Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application identified above.

☐ The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____.

☒ The assignment is being submitted separately for recordation; a copy of this assignment is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

October 21, 2004
Date

Francis O. Ginah
Francis O. Ginah
Patent Attorney

POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby appoint:

☒ Practitioners associated with the Customer Number:

25885

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Assignee Name and Address:

Eli Lilly and Company
Patent Division
PO Box 6288
Indianapolis, Indiana 46206-6288

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Name	Douglas K. Norman		
Signature	<i>Douglas K. Norman</i>	Date	10 August 2004
Title	Deputy General Counsel, General Patent Counsel	Telephone	317-433-1651

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.